



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

ARNOLD SCHWARZENEGGER, Governor

WAYNE STRUMPFER, Acting California Corporations Commissioner

SUNNE WRIGHT MCPEAK, Agency Secretary

Release Date: April 28, 2006

CLASSIFICATION: CORPORATIONS EXAMINER (Will consider Auditor I applications)
2 Positions – San Francisco
2 Positions – Los Angeles

FINAL FILING DATE: May 21, 2006 or UNTIL FILLED

SALARY: \$3746-5229 per month (If Auditor I, the salary is \$3529.00 per month.)

POSITION LOCATION: Securities Regulation Division
71 Stevenson St., Suite 2100, San Francisco, CA 94105
320 West 4th Street, Suite 750, Los Angeles, CA 90013

DUTIES AND RESPONSIBILITIES: Under the general direction of the Corporations Examiner IV (Supervisor), the Corporations Examiner/Auditor I performs technical and administrative duties to assure compliance with provisions of the Corporate Securities Law of 1968 and Code of Regulations. Typical duties include: conducts field examinations of the division's licensees, investment advisers and broker-dealer offices; reviews of books and records including financial statements to determine compliance with minimum net worth set by State Law; reviews business operations and internal auditing procedures; prepares comprehensive regulatory reports and detailed memorandums upon completion of the examination; reviews responses from the licensees to the regulatory reports issued. Other duties include: evaluates annual financial report filings for compliance with financial requirements; reviews amendments and annual updates to applications for accuracy; conducts enforcement or "for cause" examinations that target specific area of problems and investigates complaints by investors filed against licensees; gathers evidence for possible enforcement actions. **This position requires extensive traveling.**

DESIRABLE QUALIFICATIONS.

- ◆ Knowledge of Generally Accepted Accounting Principles and Generally Accepted Auditing Standards.
- ◆ Knowledge of the rules and regulations administered by the Securities Regulation Division.
- ◆ Knowledge of personal computers, familiarity with Microsoft Word and Excel and other computer programs.
- ◆ Dependability and the ability to adjust to shifting priorities and meeting deadlines.
- ◆ Ability to communicate well both orally and in writing.
- ◆ Willingness to accept additional responsibilities.
- ◆ Ability to work independently, with good interpersonal skills and a willingness to travel.

WHO MAY APPLY – EMPLOYEES CURRENTLY AT THE AUDITOR I or CORPORATIONS EXAMINER LEVEL, THOSE WITHIN TRANSFER RANGE OR HAVE LIST ELIGIBILITY WHO ARE REACHABLE (IN THE TOP THREE RANKS), AND EMPLOYEES WITH SURPLUS OR SROA STATUS AT THE CORPORATIONS EXAMINER & AUDITOR I LEVEL ARE ENCOURAGED TO APPLY. For further technical information regarding the position, please contact Sandra Ramayla at (415) 972-8580 or CALNET 8-972-8580. **PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW.** (Please include your social security number for eligibility verification and indicate **RPA # SRD SF/LA** under the job title).

SUBMIT APPLICATION AND RESUME TO: Department of Corporations
Attention: HR - Kiley Hanchen RPA # SRD SF/LA
1515 K Street, Suite 200
Sacramento, CA 95814
(916) 327-8914 or CALNET 8-467-8914

RPA #SRD SF/LA-JR

AN EQUAL OPPORTUNITY EMPLOYER - EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.